

09-26-00

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09/25/00  
JC905 U.S. PTO

Atty. Docket No: BRUM-101

JC860 U.S. PTO  
09/669057  
09/25/00

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the ( X ) utility, ( ) design, ( ) plant patent application of:

INVENTOR: Bruce Brumberg

FOR: INTERNET-BASED EMPLOYEE STOCK OPTION PLANNER

Enclosed are:

(X) 28 pages of specification (X) Abstract  
(X) Oath or Declaration (X) Power of Attorney  
(X) 9 pages of (X) Formal ( ) Informal Drawings.

( X ) An assignment of the application to: MYSTOCKPLAN.COM, INC.

( ) Preliminary Amendment ( ) Information Disclosure Statement  
( ) Oath or Declaration ( ) Power of Attorney  
( ) Associate Power of Attorney  
(X) Verified Statement under 37 CFR 1.9 and 1.27 claiming small entity  
( ) Petition for One-Month Extension of Time

The filing fee is calculated as follows:

FOR	NUMBER FILED	NUMBER EXTRA	CLAIMS AS FILED		AMOUNT
			RATE LARGE	SMALL	
BASIC FEE					
Utility		xxxxxx	\$710.00	\$355.00	\$ 355.00
Design	xxxxxx	xxxxxx	\$320.00	\$160.00	\$ .00
Plant	xxxxxx	xxxxxx	\$490.00	\$245.00	\$ .00
Total Claims	16 - 20 = 0		x \$18.00	x \$ 9.00	\$ .00
Independent Claims	1 - 3 = 0		x \$80.00	x \$40.00	\$ .00
Multiple Dependency			\$270.00	\$135.00	\$ .00
Late Fee Surcharge			\$130.00	\$ 65.00	\$ .00

The PTO did not receive the following listed item(s) a check of \$40. for assignment  
but a check of \$45 is enclosed.

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Non-English Language Fee	\$130.00	\$	.00
Assignment Recording Fee	\$40.00	\$ 0.00	\$40.00
TOTAL			\$395.00

(X) A check in the amount of \$355.00 to cover the filing fee is enclosed.

(X) A check in the amount of \$40.00 to cover the cost of the Assignment Recording Fee is enclosed.

( ) This application is filed under the provisions of 37 CFR 1.53, and does not include:

- ( ) Oath or Declaration
- ( ) Filing Fee

(X) The Commissioner is hereby authorized to charge payment of the following fees or credit any overpayment to Deposit Account No. 20-0449. A duplicate copy of this sheet is enclosed.

- (X) Any additional filing fees required under 37 CFR 1.16
- (X) Any patent application processing fees under 37 CFR 1.17
- ( ) The Issue Fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b)

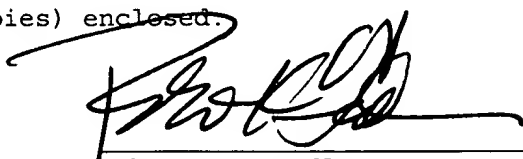
( ) Priority is claimed under 35 USC 119 based on the following:

Serial No.	Date Filed	Country
_____	_____	_____
_____	_____	_____

( ) Certified copy (copies) enclosed.

Date:

Sept. 25, 2000

  
Robert K. Tendler

Reg. No: 24,581  
65 Atlantic Avenue  
Boston, MA 02110  
(617) 723-7268  
(617) 723-7186

ADDRESS:

TELEPHONE:

FAX:

005250 25069960

**BRUM-101**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In application of: **Bruce Brumberg**

Express Mail Label No:

**EL122933815US**

Date of Deposit: Sept. 25, 2000

Filed: On Even Date Herewith

For: **INTERNET-BASED EMPLOYEE STOCK OPTION PLANNER**

PATENT APPLICATION AND  
CERTIFICATE OF MAILING

Honorable Commissioner  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

Pursuant to the provisions of 35 U.S.C. 21(a) as amended by Public Law 97-247 and 37 C.F.R. 1.10, the above-identified Applicants enclose for filing the attached Patent Application entitled **INTERNET-BASED EMPLOYEE STOCK OPTION PLANNER**. This application includes 28 sheets of specification, 9 sheets of formal drawings and a check in the amount of \$ 355.00 to cover the filing fee. Also included is a check for \$ 40.00 to cover the Assignment Recording Fee.

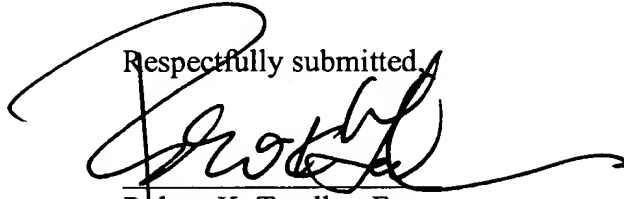
This Application is being filed on 25<sup>th</sup> day of Sept., 2000, by mailing an application to Commissioner of Patents and Trademarks, Washington D.C. 20231, via the United States Postal Service under 37 C.F.R. 1.10. The Express Mail Label number appears in the heading of this paper which is attached to the Application papers pursuant to 37 C.F.R. 1.10(b).

005250 25069960

All correspondence concerning this Application should be sent to:

Robert K. Tendler, Esq.  
65 Atlantic Avenue  
Boston, MA 02110  
(617) 723-7268

Respectfully submitted,



Robert K. Tendler, Esq.  
Reg. No. 24,581

65 Atlantic Avenue  
Boston, MA 02110

Date: Sept. 25, 2000

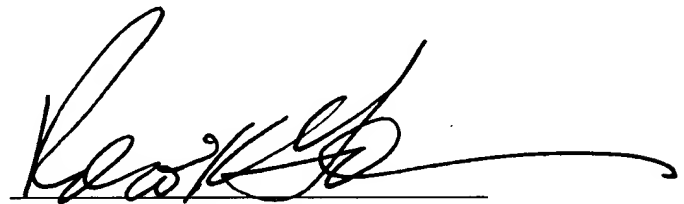
**CERTIFICATE OF MAILING**

"Express Mail" Mailing Label No: **EL12293381US**

Date of Deposit: Sept. 25, 2000

I hereby certify that this paper, fee and attachments are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington D.C. 20231.

Dated: Sept. 25, 2000



Robert K. Tendler, Esq.

005260 25069960

Applicants or Patentees: Bruce Brumberg  
Attorney's Docket No.: BRUM  
Serial No. or Patent No.: \_\_\_\_\_  
Filed or Issued: \_\_\_\_\_  
For: INTERNET-BASED EMPLOYEE STOCK OPTION PLANNER

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.0 (f) AND 1.27 (C) ) - SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: Mystockplan.com, Inc.  
Address of Concern: 124 Harvard Street, Brookline, MA 02444

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13. CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **INTERNET-BASED EMPLOYEE STOCK OPTION PLANNER**

by inventor: Bruce Brumberg  
described in

- ☒ the specification filed herewith  
☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9 (d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a nonprofit organization under 37 CFR 1.9 (e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

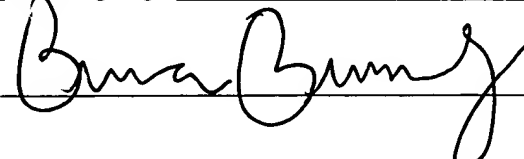
Name: \_\_\_\_\_

Address: \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b) )

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of person signing: Bruce Brumberg  
Title of person signing other than owner: President  
Address of person signing: 76 Berkshire Road, Newton, MA 02460

Signature:  Date: 9/23/2000

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APPLICATION FOR LETTERS PATENT

TO ALL WHOM IT MAY CONCERN:

BE IT KNOWN THAT **Bruce Brumberg**, citizen of the United States of America, having residence at 76 Berkshire Road, Newton, Massachusetts, USA has invented a certain new and useful **INTERNET-BASED EMPLOYEE STOCK OPTION PLANNER**.

005260-25069960